

TO: Members of the CIA Career Council

SUBJECT: Competitive Promotion System

1. PROBLEM:

To provide a uniform Agency-wide competitive promotion program.

2. ASSUMPTIONS:

An Agency competitive promotion program should be administered by the existing Career Service structure since this structure provides the best breakdown of personnel into groups of employees of similar occupations and career interests now available.

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3. FACTS BEARING ON THE PROBLEM:

- a. Regulation   provides for a competitive promotion system within Career Service boundaries. Paragraph 4b thereof requires that Heads of Career Services ensure that all employees in the zone of consideration within the Service are considered for promotion at least once a year; each promotion action recommended is a certification by the Head of the Career Service that the individual recommended is the best qualified in the zone of consideration.
- b. The Director on 17 November 1955 approved a Staff Study endorsed by the Career Council, entitled, "Revised Personnel Promotion and Assignment Policies." The study affirmed the competitive promotion principles and provided flexible assignment policies to enable promotions to be considered on a truly competitive basis - not restricted by the grade of the position held or to be held by employees in the zone of consideration. The Career Council subsequently reviewed Regulations proposed to implement the approved competitive promotion-flexible assignment policies, but suspended consideration of the Regulations until details concerning the workings of the promotion consideration process could be developed. This paper is designed to provide the latter information; its approval will be followed by expeditious development of the necessary Regulations.
- c. Currently, major emphasis is being placed throughout the Government on the development of competitive promotion systems. The use of Agency Promotion Boards has been proposed for this purpose.

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d. The following elements are common to competitive promotion systems administered by the traditional Career Services (Department of State, Military):

- (1) A formal and regularized system of promotion consideration, which is made known to each employee.
- (2) The use of Promotion Boards or their equivalent for competitive evaluation of candidates for promotion.
- (3) Establishment of criteria and guidelines for the use of Promotion Boards in their operations.
- (4) The use of promotion quotas to keep personnel assets in line with staffing requirements according to grades or ranks.

h. DISCUSSION:

a. To achieve a competitive promotion program within the framework of the Agency Career Service structure, answers to the following questions must be provided:

- (1) Who will competitively evaluate the merit of employees for promotion?
- (2) Upon what basis will employees be evaluated?
- (3) What grade levels of employees will be evaluated?
- (4) How often will employees be evaluated?
- (5) How will the number of promotions to be made be determined?
- (6) What will be the minimum requirements for promotion of employees with respect to time-in-grade, qualifications, and grade of position occupied?
- (7) What will be the relationship between the Operating Official (Supervisor) and the Head of the Career Service in administering promotions?
- (8) How will Agency-wide competition and equity in promotions be accomplished?

b. In determining who will evaluate employees for promotion, it must be noted that Boards and Panels--both Career Service and Agency-wide--are an established part of our personnel program. They have proven their

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value in considering every type of personnel action: promotions, reassignments, grievances, training, awards, separations, appointments, entrance into the Career Staff, etc. This suggests the use of Career Service Panels composed of experienced personnel from the Career Service concerned as the mechanism which can best and most efficiently evaluate the merit for promotion of all members of the Career Service. No single individual could hope to have the knowledge of or familiarity with all members of the Career Service that could be concentrated in a Panel; and group judgment in promotion determinations would seem more valid than that exercised by any one individual. Details of a promotion panel system which may be considered for Agency use are provided in Tab A. This proposes that separate panels be established to evaluate employees in grade groups GS-7 through GS-11, and GS-12 through GS-14. Panel workload will be significant in view of the fact that approximately [ ] employees in grades GS-7 through GS-14 are in the zone of consideration for promotion, distributed among the Career Services as listed in Tab B. For this reason, the introduction of a "Biographic Profile" (Tab C), which lists significant data about the qualifications, experience, and performance of each individual, is suggested to shorten the time required for panel evaluation purposes.

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c. The basis upon which employees will be evaluated for promotion (Question 2) has been fairly well defined during previous Council discussions. To summarize, the following items have been considered significant:

- (1) Performance - Productivity, quality of work, level of work performed.
- (2) Attitude - Attitude toward assignments, discharge of obligations of Career Staff membership.
- (3) Qualifications - Education, experience, training, personal characteristics.
- (4) Value of employee to the Agency - present and potential.
- (5) Length of service and time in grade.

A more detailed breakdown of the treatment of the above promotion factors in specific situations, as proposed for panel use, is provided in Tab D, Guide for Promotion Panels.

d. With respect to the grade levels of employees to be evaluated by panels, arguments can be presented that all levels of employees should be included. However, factors prevalent in the positions below GS-7, such as the 6 month time-in-grade requirement, temporary nature of employment in many cases, and the close association of the employee's grade with

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that of the work performed, make it appropriate to treat this group separately — at least during the introduction of the program. Panel workload involved also will be materially cut if employees below GS-7, of which approximately [ ] are in the zone of consideration, are not included at this time. Accordingly, existing promotion requirements could continue to apply for this group.

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- e. In regard to the question, "How often will employees be evaluated?" it is essential that the introduction of the panel evaluation system does not result in undue delays in granting merited promotions. However, in consideration of the number of employees in the zone, the evaluation of one grade level per month during the introduction of the program is believed to be the maximum feasible. In view of the limited number of personnel in grades GS-8 and GS-10, these levels could in most Career Services be evaluated during the same time as employees in grades GS-7 and GS-9 respectively. Thus, the complete cycle of employee evaluation for grades GS-7 through GS-14 could take place every six months. Evaluation of the same grade level of employees will occur normally at the same time in all Career Services so that promotions for each grade level can be effected throughout the Agency on or about the same date.
- f. As agreed to previously by the Council, and approved by the Director, personnel promoted competitively may be retained in a position of lower grade when it is in the best interests of the Agency for them to complete an assignment or tour. Thus, the grades of T/O positions occupied do not provide a control on the number of promotions under the competitive system. Secondly, the average grade of employees has in recent years been drawing closer to the average T/O grade — an indication that future promotions may be somewhat limited. In view of these facts, a guide for each Head of a Career Service to follow as to the maximum number of promotions to be made at each level, warrants consideration. Tab E proposes the use of promotion quotas for this purpose, and explains the basis of their computation. As proposed, promotion quotas will be determined by the Career Council in consideration of the status of staffing of each Career Service and past promotion rates for each grade level of the Agency as a whole. Use of the latter factor will tend to provide equal opportunity for advancement in all Career Services throughout the Agency. The quotas will thus answer the question of how will the number of promotions to be made be determined.
- g. In introducing the competitive evaluation system no substantial reason exists for changing current requirements for promotion with respect to time in grade or the minimum qualification requirements for the grade level and line of work concerned. These requirements have been of proven value in promotion administration for the last several years and are generally accepted by employees and supervisors alike. Exceptions to these requirements could still be made as in the past. The third requirement for promotion, existence of a suitable position would,

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however, be modified under the flexible assignment policy of this program. As recommended previously by the Council, an individual promoted could continue to occupy a position of lower grade until his reassignment was practicable. However, the Head of the Career Service would be responsible for ensuring that each employee promoted could be utilized in a position of his grade in the foreseeable future.

- h. The existing division of responsibilities for promotion administration between the Head of the Career Service and the Operating Official would be changed but slightly under the proposed system. The Operating Official will nominate employees under his jurisdiction for promotion consideration ranking them in order of merit when practical. Upon completion of panel evaluation, the Head of the Career Service will review the rank order list prepared by the panel and initiate promotion actions of personnel he selects for promotion, after checking with the Operating Official for affirmation of his recommendation or to obtain his concurrence if the employee selected for promotion was not nominated by the Operating Official. (See Tab A.) In addition, the Operating Official may recommend the promotion of any individual at any time - panel ranking notwithstanding - if sufficient justification for the action is provided.
  - i. The final question raised, that of assuring Agency-wide competition for promotion under the system, can best be answered by stating that Agency-wide procedures, guidelines, and promotion criteria will be used to assure maximum equity in promotions among the Career Services. In addition, promotion quotas will be based in large measure on Agency-wide promotion rates, a further means of assuring equal opportunity for promotion in all Career Services.
5. CONCLUSIONS:
- a. The promotion system herein outlined will provide truly competitive selection of employees for promotion on the basis of performance, qualifications, and value to the Agency.
  - b. The system will assure that every individual in the zone of consideration is considered at regular intervals for promotions available.
  - c. The system will provide uniform and equitable promotion considerations insofar as is possible among the Career Services.
  - d. The mechanism provided - Promotion Panels, and the tools - promotion quotas, biographic profiles, guides for Panels - will enable the system to operate as efficiently as possible and as rapidly as is consistent with the exercise of good judgment.

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6. RECOMMENDATIONS:

a. The procedures and requirements of the Competitive Promotion Program herein described be approved, comprised of:

- (1) Competitive evaluation of all employees in the zone of consideration by Promotion Panels consisting of a minimum of three voting members senior in grade to employees evaluated.
- (2) Evaluation simultaneously in all Career Services of employees of each grade level from GS-7 to GS-14, with evaluation of each grade accomplished semi-annually.
- (3) Use of the promotion factors - performance, attitude, qualifications, value to the Agency, and length of service - by all Panels and Career Services.
- (4) Nomination of employees for promotion in order of merit (when practical) by Operating Officials (supervisors); Panel consideration of eligible employees not nominated as well as those nominated.
- (5) Final Selection of employees for promotion by Heads of Career Services in consideration of recommendations of the Panels and Operating Officials, promotion quotas for the grade level as established by the Career Council, and grade of position occupied by employee - with the requirement that an individual promoted be utilizable in the foreseeable future in a position of proper grade if he cannot be placed in one upon promotion.
- (6) Authentication of promotion actions including qualifications review by the Office of Personnel.

b. Office of Personnel be directed to prepare implementing regulations.

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Harrison G. Reynolds  
Director of Personnel

Attachments:

- Tab A - Major Steps in Competitive Promotion Process
- Tab B - Personnel in Zone of Consideration
- Tab C - Biographic Profile
- Tab D - Guide for Promotion Panel Operation
- Tab E - Promotion Quotas

Approved For Release 2002/05/02 : CIA-RDP80-01826R000900080026-1

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Approved For Release 2002/05/02 : CIA-RDP80-01826R000900080026-1

MAJOR STEPS IN THE COMPETITIVE PROMOTION PROCESS

1. DETERMINATION OF PROMOTION QUOTAS FOR CAREER SERVICES

With due regard to the current staffing of the Agency T/O, needs of the Agency, past promotion rates, and available appropriations, the Office of Personnel shall develop semi-annually a proposed promotion quota by grade groups for each Career Service. The Career Council will review this proposal and will make the final determination of promotion quotas, except as otherwise approved by the Director.

2. PREPARATION FOR PANEL EVALUATION

- a. Heads of Career Services will appoint Panels composed of a minimum of 3 voting members of grades higher than that of employees to be evaluated. Intermediate Panels will be appointed to evaluate employees in grades GS-7 through GS-11 and Advanced Panels will be appointed to evaluate employees in grades GS-12 through GS-14 for promotion. Panel members will serve for a period of six months or until the consideration of the grade groups for which they are responsible has been completed.
- b. Operating Officials, as designated by Heads of Career Services, will submit list of employees at each grade level which they recommend for promotion. Whenever practical, operating officials will rank these recommended employees in the order of their merit.
- c. Biographic Profiles or equivalent will be prepared for promotion-eligible employees. The primary purpose of such a profile is to eliminate, in the majority of cases, the need for Panel members to study the official personnel folders of each eligible employee in order to appraise basic qualifications, performance and related data. These profiles may also be used for other personnel purposes: for example, they may be used in lieu of the official personnel folder in reviewing and considering assignments, attendance at training courses, fitness report preparation and review, individual career planning, skills analysis and related personnel matters.
- d. Insofar as is practicable, all Career Services, will competitively evaluate eligible employees in the same GS Grade at the same time.



3. PROMOTION PANEL ACTION

Promotion Panels will competitively evaluate for promotion all employees in the zone of consideration. In accomplishing the evaluation process, Panels will utilize for reference purposes the Guide for Promotion Panel Operations, TAB D, of the Staff Study, as well as Biographic Profiles or equivalent for each individual being evaluated. The rank order list prepared by the Panel and submitted to the Head of the Career Service will include in order of merit for promotion all employees recommended by Operating Officials together with other eligibles selected by the Panel as warranting promotion. Panel determinations will not be subject to justification except to the Head of the Career Service.

4. ACTION BY HEAD OF CAREER SERVICE

- a. Considers Rank Order Listing, advice from Career Board, and personal knowledge of employees in making promotion recommendations. Adheres to an Agency-wide effective date for as many promotions as is practical.
- b. Assures that employee can be utilized in a position of proper grade either currently or in the foreseeable future.
- c. Informs Operating Officials of the names of their employees being recommended for promotion. Considers their comment as to timing of promotion or request that a promotion be withheld.

5. ACTION BY OPERATING OFFICIAL

- a. Upon request from Head of Career Service, comments as to timing of promotion or states reasons why a proposed promotion should be withheld.
- b. May recommend to Head of Career Service promotion of any individual not within the promotion zone on the rank order list. Provides detailed justification in support of each such action.

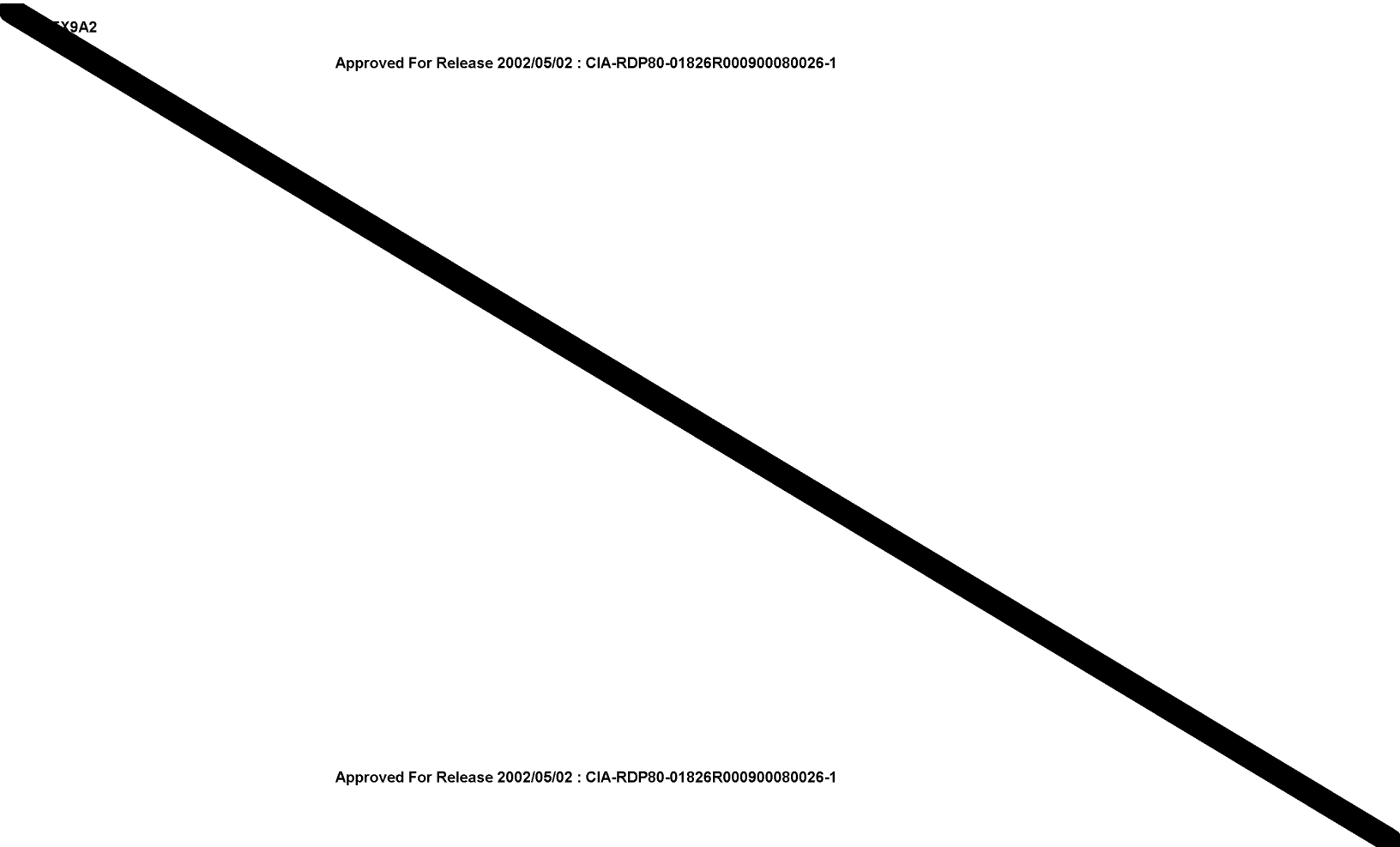
6. ACTION BY OFFICE OF PERSONNEL

Review and authentication of promotion requests. Keeps records and reports on status of promotion quotas by Career Services.

Approved For Release 2002/05/02 : CIA-RDP80-01826R000900080026-1

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Approved For Release 2002/05/02 : CIA-RDP80-01826R000900080026-1



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Approved For Release 2002/05/02 : CIA-RDP80-01826R000900080026-1

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## BIOGRAPHIC PROFILE

1. NAME (LAST-FIRST-MIDDLE)		2. SEX	3. DATE OF BIRTH	4. SERVICE DESIGNATION	
5. LONGEVITY COMP. DATE		6. MARITAL STATUS		7. NUMBER OF DEPENDENTS (EXCLUDING EMPLOYEE) ▶	
				ADULTS      MINORS	
8. GRADE		9. ORGANIZATION TITLE		10. OFFICIAL POSITION TITLE AND OCCUPATIONAL CODE	
11. OFFICE OF ASSIGNMENT		12. MEMBER OF THE CIA CAREER STAFF ?		EFFECTIVE DATE	
				YES      NO	
13. MEDICAL STATUS				DATE - LAST MEDICAL REPORT	
<input type="checkbox"/> QUALIFIED FOR FULL DUTY (GENERAL) <input type="checkbox"/> DEPT DUTY ONLY <input type="checkbox"/> FULL DUTY (SPECIAL)					
14. ASSESSMENT ▶		15. CURRENT RESERVE STATUS		STANDBY INACTIVE	
				STANDBY ACTIVE      RETIRED	
16. CITIZENSHIP (COUNTRY)		17. DATE IF NATURALIZED		////////////////////////////////////	
				////////////////////////////////////	
18. NON-CIA EXPERIENCE (INCLUDING MILITARY)					
19. NON-CIA EDUCATION (INCLUDING MILITARY TRAINING)					
20. AGENCY SPONSORED TRAINING (INCLUDING AGENCY SPONSORED MILITARY TRAINING)					
21. CIA EMPLOYMENT HISTORY (SF-50 AND MILITARY ORDERS) - NOTE FIRST ASSIGNMENT AND ALL ACTIONS FOR LAST 10 YEARS (IF ACTION SEEMS INCORRECT, A MEMORANDUM FOR THE RECORD SHOULD BE PREPARED AND FILED ADJACENT TO ACTION)					
EFFECTIVE DATE	POSITION TITLE (AS SHOWN ON OFFICIAL ACTION)	GRADE	COMPONENT	GEOGRAPHIC LOCATION	

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(WHEN FILLED IN)

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22. GEOGRAPHIC AREA KNOWLEDGE

23. FOREIGN LANGUAGE ABILITIES

24.

EVALUATIVE DATA

A. FITNESS REPORTS

FORM NO. 45	LAST RATING - DATES OF PERIOD COVERED:	PREVIOUS RATING - DATES OF PERIOD COVERED:	PREVIOUS RATING - DATES OF PERIOD COVERED:
RATING IN SECTION C			
RATING IN SECTION D			
RATING IN SECTION G			

B. ARE THERE REMARKS ON THE FITNESS REPORT WHICH INDICATE FACTORS SHOULD BE REVIEWED IN DETAIL ? YES NO

C. SUMMARIES OF OTHER EVALUATIVE REPORTS IN PAST TWO YEARS

25. GRADE OF POSITION TO WHICH INCUMBENT ASSIGNED IF DIFFERENT FROM INCUMBENTS ACTUAL GRADE ☐

26. SUMMARY OF CAREER PREFERENCE OUTLINE AND/OR FIELD REASSIGNMENT QUESTIONNAIRE (INDICATE DATE(S): ITEM S-1 ON FIELD REASSIGNMENT QUESTIONNAIRE AND ITEM 13 ON CAREER PREFERENCE OUTLINE)

27. ADDITIONAL INFORMATION (SUMMARY OF OTHER EVALUATIVE DATA: WARNING LETTERS, DISCIPLINARY ACTIONS, COMMENDATIONS, HONOR OR SUGGESTION AWARDS RECEIVED, ETC.)

Approved For Release 2002/05/02 : CIA-RDP80-01826R000900080026-1

28. DATE PREPARED

2<sup>o</sup> PROFILE PREPARED BY

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GUIDE FOR PROMOTION PANEL OPERATION

1. Promotion Panels are responsible for considering all employees within the zone of consideration for promotion and for competitively evaluating employees recommended for promotion by Operating Officials as well as those selected by the Panel itself after reviewing all eligibles. In accomplishing the process of competitive evaluation, Panel Members will be guided by a consideration of the factors listed below. If Panel Members desire more complete information than that furnished by the Biographic Profile or equivalent, the official personnel folder may be obtained and reviewed or the employee's past or present supervisor may be interviewed.
  - a. Performance (productivity, quality, and level of job performed)
    - (1) One of the chief considerations in competitively evaluating employees for promotion is the performance factor - how well has the job been performed - the quality and quantity of work done. In the interest of rendering maximum fairness to all concerned in judging this factor, Panel Members should bear in mind the level or grade of the job duties or assignment of the employees being evaluated. It may happen, for example, that a high grade employee performing work of a lower grade will turn out exceptional work and be rated extra high, whereas an employee assigned to a position of higher grade may perform with only minimal acceptance and be rated low. To ensure equity of rating in this connection, Panel Members are urged to pay particular attention to the level of major duties performed by the employee. Fitness Report ratings become more meaningful when considered in relation to the job performed as well as in relation to all other evidence of record.
    - (2) A common criticism of centralized promotion or selection panel systems is that they tend to make employees afraid to take initiative. It is sometimes alleged that an employee, particularly if he be a junior officer, may seek to conform entirely to prevailing opinion. Since any such tendency would jeopardize the merit system and reduce the effectiveness of the Agency Career Staff, every effort must be made to avoid this tendency through giving due credit to employees who have shown themselves capable of sound independent judgment, creative work, self-reliance and the acceptance of unusual responsibility. If the initiative of an employee has led to some difficulty, he should not be severely judged if the attempted line of action was worthwhile, simply because a calculated risk did not work out. On the other hand, Panel Members should be wary of employees who restrict their output in order to concentrate on a few reports or other work products for the purpose of receiving special commendation in their personnel files.



- (3) A difficult problem will be the determination of the merit of employees whose duties give them opportunity for comparatively little substantive output which can be readily evaluated. Many jobs involve the performance of specific duties which lend themselves easily to an evaluation of competence, whereas other jobs have no clear-cut yardsticks by which competence may be evaluated. Also, there may be assignments where, for security reasons, the inclusion of complete documentation of performance may not be feasible. Extra care should be taken that employees in such assignments have equal opportunity for advancement.
- (4) Employees who have completed or who are currently engaged in training assignments must be given full consideration for their efforts in the light of their reported accomplishments during such training. It is important to remember that in-service training is an essential ingredient to a successful Agency Career Service.
- (5) In evaluating the performance of employees performing executive or supervisory duties, it is stressed that principal consideration should be given to the demonstration of management skills. Factors in this connection are the ability of an executive or supervisor to plan and organize his unit or office, ability to establish sound policies and procedures, ability to direct, train and supervise employees, so as to ensure efficient operation and accomplishment of required objectives.

b. Attitude Toward Agency and Toward Meeting Career Staff Obligations

A factor which should be given considerable weight is that of the attitude of the employee toward the Agency and toward meeting Career Staff obligations as exemplified by willingness to accept assignments to isolated or hardship posts, to undertake specialized training which may lead to protracted periods of service in difficult or unpleasant areas of the world and, in general, by a demonstrated willingness to put the needs of the Agency before personal preference or convenience.

c. Versatility and Value of Employee to Agency

The problem of developing and keeping the required number of qualified personnel in all lines of work is a problem with which all organizations must contend. One of the major objectives of the Agency Career Program is to expose Career Staff members to a broader base of training and experience so as to increase their versatility and assignment potential as well as to provide a foundation for executive development. In competitively evaluating employees for promotion, consideration should be given to the present versatility and value of the employee to the Agency, and, as best as can be determined, his potential usefulness in the future. Of pertinence to value of an employee to the Agency is a consideration of possession of scarce occupational skills and experience which are most difficult to replace and which may have required arduous training or unpleasant assignments for their acquisition.

d. Length of Service

Length of service in a GS-grade (beyond the minimum time in grade requirement) shall be a factor in the evaluation of an employee's record to the extent that promotion must be earned by meritorious performance over a sufficient period of time. Experience gained prior to entry with CIA should be evaluated on its applicability to an Agency Career. Notwithstanding the usual time in grade and length of service requirements, it is important to keep in mind that no employee should be rated lower than his performance merits simply because of the recency of his last promotion. To do so might penalize ambition or unusually talented employees as well as enhance the chances for promotion of those whose principal claim is that of seniority.

e. Qualifications (Education, Experience, Training, Personal Characteristics)

Promotion Panels must recognize that there are, for most Agency jobs, prescribed requirements for education and experience and, for some jobs, mandatory or highly desirable training requirements. In addition, for the Agency as a whole, there are general requirements and standards of character including personality, intelligence, loyalty, self-discipline, responsibility, dependability, sustained effort which are generally applicable to all employees. The degree to which an employee exceeds the minimum standards of experience, training, and education, is of pertinence to his evaluation providing the type of experience, training and education is of demonstrated usefulness in connection with the employee's work and probable future utilization. Personal characteristics should similarly be evaluated in terms of the application to current and probable future assignments the employee may fill with due consideration given to possession of personal characteristics essential for exercising supervisory, liaison, research or other categories of assignments.

f. Other Considerations:

- (1) In evaluating employees whose records reflect adverse reports or criticisms, special care should be taken to determine whether the adverse material has been out-dated by more recent favorable reports and related performance data. Giving undue weight to past reports of defects or to criticisms, which have already been considered and acted on by previous supervisory levels and which an employee has corrected, would serve to perpetuate punishment or create a permanent handicap in his career. Promotion Panels must be as sensitive to records reflecting improved performance as they are to those which reflect deterioration.
- (2) A promotion panel member's personal knowledge of an individual should not be given undue weight. However, if a Panel Member, through personal acquaintance or otherwise, is cognizant of pertinent information which is not in the record, he shall make that information available to other Panel Members.

- (3) In the final analysis, however, promotion must be earned through demonstration, within the framework of opportunities afforded, of the relative quality and accumulated value of the employee's performance. Where such competitive evaluation would establish employee's ratings as essentially equal, it is appropriate that Panels give added weight to considerations of age, length of qualifying experience and general background.

2. Selection of Employees for Competitive Evaluation by Panel

- a. For each GS-grade being considered, Office of Personnel will furnish Heads of Career Services listings of all employees in the zone of consideration for promotion. When a Panel has been appointed and convenes to evaluate eligibles in a given GS-grade, the appropriate listing of eligibles will be given to the Panel.
- b. Operating Officials will furnish to the Panel a list of the employees they recommend for promotion. When practicable, these recommended employees will be listed in the rank order of preference.
- c. The Head of the Career Service may indicate to the Panel the minimum number of personnel to be ranked in order of merit for promotion in consideration of the available quota.
- d. Employees nominated for promotion by Operating Officials will qualify for the final ranking.
- e. Employees not nominated for promotion by Operating Officials will be considered for inclusion in the final ranking by Promotion Panels, and any individuals selected will be ranked in order of merit for promotion together with employees recommended by Operating Officials.

3. Ranking or Grading Procedures

- a. After Promotion Panels have reviewed the Biographic Profiles or equivalent of all employees who are in the zone of consideration, they will competitively evaluate all employees who have been recommended for promotion by operating officials together with other eligibles selected by the Panel. In accomplishing this competitive evaluation, it is suggested that each Panel Member, independently rank the employees, at each GS-grade, in the order of preference. To facilitate this ranking process, "working" 3 x 5 cards may be used on which significant notes or points may be listed. After each Panel Member has ranked all employees under consideration, a Panel discussion will take place in an endeavor to narrow any wide discrepancy in ranking. Following such discussions (wherein the Career Management or Personnel Officer will participate and assist in furnishing technical advice), Panel Members may make whatever changes they wish in their individual ranking order.

- b. The final ranking will be computed as a composite of individual rankings with equal weight being given to each Panel Member's judgment. The individual rankings for each employee will be totalled, and the final ranking will be determined by listing the employee with the lowest total ranking points first, the employee with the second lowest total of ranking points, second, etc.

EXAMPLE

Ranking Order Computation (Employees a, b, c, d, e)

Employee Ranking by Panel Members

<u>Rank</u>	<u>Panel Member 1</u>	<u>Panel Member 2</u>	<u>Panel Member 3</u>
1	a	c	a
2	c	b	b
3	e	a	c
4	b	d	e
5	d	e	d

Determination of Final Rank Order of Employees

<u>Employee</u>	<u>Total Points</u>	<u>Final Ranking</u>
a	5	1
b	8	3
c	6	2
d	14	5
e	12	4

4. Submission of Panel results to Head of Career Service

Upon completion of the ranking process, Panels will submit their recommended promotion lists or rank order listing to the Head of the Career Service concerned.

Approved For Release 2002/05/02 : CIA-RDP80-01826R000900080026-1

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Approved For Release 2002/05/02 : CIA-RDP80-01826R000900080026-1

Promotion Quotas

1. The grade structure of each Career Service (people) should be kept in alignment with staffing requirements assigned to the Service (jobs). A system of promotion quotas will provide guidelines for individual Career Services in administering competitive promotion programs, will aid in achieving uniform promotion practices among the Services, and can be used to assure that the grade structure of people in a Career Service does not exceed that of the positions which the Career Service normally staffs.

2. Competitive promotion systems under the traditional Career Services rely on periodic promotion quotas to control the number of individuals in each rank or class. Available promotions in Department of State are fixed in relation to the maximum number of assignments approved and budgeted for in each class. Military Services have their composition by ranks established by Congress in consideration of but not controlled absolutely by the available assignments.

3. During the past several years the variation in Agency overall promotion rates has not been great as indicated by: 1953 - 44.7%; 1954 - 36.3%; 1955 - 37.2%. However, the rates have been higher at the lower grade levels as exemplified by the following table covering promotion rates for the last six months of 1955:

<u>Minimum Time in Grade Requirements</u>	<u>Grade of Person Before Promotion</u>	<u>Agency Rate*</u>	<u>Composite Rates* for Career Services Under</u>		
			<u>DD/I</u>	<u>DD/P</u>	<u>DD/S</u>
24 months	GS-14	6.9%	5.2%	8.1%	6.8%
18 months	GS-13	9.2%	9.8%	9.9%	8.2%
18 months	GS-12	9.2%	7.0%	9.6%	10.7%
12 months	GS-11	12.9%	11.7%	10.1%	15.6%
12 months	GS-09/10	18.7%	18.1%	21.3%	15.9%
12 months	GS-07/08	20.0%	17.9%	12.2%	25.0%
	GS-07-14 incl.	13.9%	12.6%	12.4%	16.4%

\* Promotion rate for a grade =  $\frac{\text{number of promotions of people from the grade}}{\text{average number of people at the grade}}$

4. Promotion quotas could be established by the following means:

a. Arbitrary action without consideration of past promotion rates or T/O positions.

b. Continuation of past promotion rates.

c. Establishment of quotas based on authorized positions to which promotion is authorized.

d. A combination of the above methods.

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In selecting the best method to be used, any one of the above will involve a command decision and might be termed "arbitrary". Probably, the best basis to start from is to consider the use of past Agency average promotion rates in computing future promotion quotas. This approach will tend to provide equity in promotion opportunities throughout the Agency but might eventually result in a situation wherein more high-graded personnel were in a Career Service than high-graded positions to be filled. Some modification of the promotion rate approach will, therefore, be required to eliminate this hazard. For this purpose, a table of total available positions in each Career Service for promotion purposes may be approximated by comparing the grades of the members of the Service with the grades of the positions to which they are assigned, and computing promotion potential on this basis. Then, final promotion quotas for each Career Service and grade level which would consider both past Agency-wide promotion rates and the availability of positions for promotion purposes could be determined by:

Step 1 - Computing tentative quotas based on past Agency promotion rates for each grade level.

Step 2 - Computing tentative quotas based on the availability of positions for promotion purposes.

Step 3 - Establishing final quota for each grade level as the smaller of the two tentative quotas determined separately.

This system is demonstrated in the following example using hypothetical 6 month promotion rates and staffing status:

Grades	Pos. at each Grade Filled by SX Personnel	No. of SX Personnel at Each Grade	Prom. Rates for Persons at Each Grade (Hypothetical Rates)	Promotion Quotas for Personnel in each Grade		
				Based on Avail. of Pos. *	Based on Prom. Rates **	Final Quota
GS-15	14	13				
GS-14	23	20	7%	1	1	1
GS-13	43	43	10%	4	4	4
GS-12	58	54	10%	4	5	4
GS-11	51	50	15%	8	8	8
GS-09/10	46	40	15%	9	6	6
GS-07/08	51	66	20%	15	13	13
	286	286		41	37	36

\*Promotion quota under this alternate for individuals in any grade = Promotion quota for next higher grade of personnel plus positions at the next higher grade minus people at the next higher grade.

Thus, promotion quota for GS-14 personnel =  $0 \div 14 - 13 = 1$   
promotion quota for GS-13 personnel =  $1 \div 23 - 20 = 4$   
promotion quota for GS-12 personnel =  $4 \div 43 - 43 = 4$ , etc.

\*\* Promotion Rate Quota = Number of personnel at a grade multiplied by

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Thus, promotion quota for GS-14 personnel =  $20 \times 7\% = 1.4$

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5. The promotion quota system described is believed to be of practical application in view of the following considerations:

a. No great difficulty will be encountered in the computation.

b. Use of average promotion rates in determining the final quotas will tend to provide uniformity in promotional opportunities among all Career Services.

c. Quotas computed arithmetically may be adjusted by the Career Council whenever justification exists for a change in size as, for example, when a Career Service is being called upon to staff a large number of vacant positions which did not enter into the computation of the "availability of position" control.

d. Past promotion rates for all levels from GS-9 up have been fairly uniform among the total of Career Services under each Directorate. Thus, their effect on quotas should not unduly handicap any Service. Separate analysis of GS-7/8 rates will be required to decide whether separate or common rates will provide equitable quotas among the Career Services.

e. The current status of staffing of each Career Service is such that the availability of positions for promotion purposes will for the next several years be of little influence in modifying quotas based on promotion rates. After that period, the availability of position control will aid in keeping proper alignment between the personnel assets and requirements for each Career Service.

6. It is concluded that:

a. Promotion quotas by Career Services and grade levels should be established to provide quantitative guidelines for Heads of Career Services to use in administering the competitive promotion program.

b. The most practical and equitable method available for use in computing promotion quotas to be recommended to the Career Council by Office of Personnel is to apply past promotion rates for the entire Agency at each grade level to the number of personnel at the respective grade levels within each Career Service. The figure so obtained would be used as the recommended maximum promotion authorization for the grade level provided sufficient positions were available for promotion purposes within the Career Service. If the number of positions available for promotion

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purposes is lower than the quota obtained by use of promotion rates, the former figure would comprise the maximum authorization. Adjustments of the Agency rates at certain grade levels (probably only GS-7 and 8) could be made in computing quotas if current analysis reveals justification for continuance of past significant variations in promotion rates for these levels among the Career Services under the separate Directorates.

c. The Career Council should make the final determination of promotion quotas in consideration of recommended quotas computed as described in paragraph 6b above and with due regard to future budgetary and personnel utilization requirements.

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